

## State Library of North Carolina - Library Services and Technology Act

### NC ECHO EZ DIGITIZATION STARTER GRANT 2007-2008 Information & Guidelines

#### 1. PROGRAM-SPECIFIC INFORMATION & GUIDELINES

##### 1.1. What is this grant program and its purpose?

The EZ Digitization Starter Grant Program ("Starter Grant") is a component of the Library Services and Technology Act (LSTA) project North Carolina ECHO ("*Exploring Cultural Heritage Online*"). North Carolina ECHO's goal is to use digital technologies to broaden access to the unique collections housed in North Carolina's libraries, archives, museums, and historical societies.

The Starter Grant program is to help libraries with little or no background or experience in digitization to "get started." The target library for this grant program:

- has unique material (photographs, manuscripts, maps, pamphlets, etc.) which has already been arranged, described or cataloged, and is properly stored, AND
- lacks some or all of the equipment necessary to digitize, store and make images accessible via the Internet, AND
- has staff with limited or no experience in digitizing source materials and making them available via the Internet.

The State Library sponsors the week-long North Carolina ECHO Digitization Institute that covers use of equipment and the standard digitization practices developed for ECHO. Recipients of a Starter Grant must either 1) have a staff member who has already attended the Institute by the time the grant is applied for, or 2) be willing to send a staff person to the Institute prior to implementing the grant. The State Library of North Carolina will use LSTA funds to pay costs for one staff person from a funded library to attend the Institute. If a staff person has already attended the Institute, an additional staff person may attend only if space permits.

Funds awarded under this grant program are to purchase equipment and supplies to support digitization projects. Recipients will be expected to create digital images of unique materials that the library already owns (manuscripts, photographs, rare books, broadsides, pamphlets, etc.) and to present the digital images over the Internet.

These grants will support the implementation of several facets of the *Library Services & Technology Act Plan for Implementation in North Carolina – 2003-2007*, available at <http://statelibrary.dcr.state.nc.us/lsta/plan2003-07.pdf>.

- **Goal #1: CREATING A CLIMATE FOR INNOVATION & CHANGE**
  - **Outcome 2.1: All of North Carolina's cultural institutions work together to make the state's unique cultural and historical resources accessible for the education and enjoyment of people of all ages.**

## **1.2. Who may apply?**

The following libraries are eligible to apply for these grants:

- public libraries that qualify for grants from the Aid to Public Libraries Fund;
- community college libraries;
- libraries serving the constituent institutions of the University of North Carolina (which includes libraries serving the Area Health Education Centers and the North Carolina School of Science and Mathematics);
- libraries serving the member institutions of North Carolina Independent Colleges and Universities; and
- qualifying state agency libraries.

In addition, each applicant must:

- 1) have had a staff member attend a previous NC ECHO Digitization Institute OR certify that they will send a staff member to the Spring/Summer or Fall 2007 NC ECHO Digitization Institute; and
- 2) have not received a previous NC ECHO Digitization Grant. (Previous Starter Grant recipients may apply for NC ECHO Digitization grants. See <http://statelibrary.dcr.state.nc.us/lsta/lsta.htm>.)

There will be only one starter grant awarded per library system or institution. An eligible public library system or academic institution or state agency library may submit only one Digitization Starter Grant application in this round. [Definitions: *A library system is inclusive of all outlets making up that system (e.g. Nantahala Regional Library). An institution is the parent institution of the library (e.g. UNC-Greensboro)*].

## **1.3. What amount of funds may be requested?**

The maximum amount that may be requested is \$8,000; the minimum amount is \$2,500.

## **1.4. Are local matching funds required?**

There is no matching requirement for this Digitization Starter Grant program.

## **1.5. When will the NC ECHO Digitization Institute be held?**

The NC ECHO Digitization Institute is a week-long training opportunity. Participants bring samples from their own collections and learn how to digitize, store, and create web access to their work. The next session of the Institute will be offered in Spring/Summer or Fall 2007. Successful applicant libraries will be guaranteed a seat at the next Institute if a staff member has not attended a previous Institute. If a staff person has already attended a previous Institute, an additional staff person may indicate interest in participating in a 2007 session and may attend if space is available.

For more information about the Institute, please contact the NC ECHO Project Office at 919-807-7422 or e-mail Hilary Perez at [hperez@library.dcr.state.nc.us](mailto:hperez@library.dcr.state.nc.us).

The State Library will use LSTA funds to reimburse the designated staff member for all expenses connected with the Institute (e.g. lodging, meals), including mileage reimbursed at the state rate. These costs should NOT be included in the project budget.

## 1.6. How may the grant funds be used?

### ***Allowable expenditures:***

- **Computer Equipment**, including scanners, computers, and computer peripherals (i.e. printers, CD-ROM Read/Write "burners," CD "caddies," etc.) as well as sufficient memory and storage. (The use of most digital cameras as image capture devices is not considered best practice due to limited optical resolution, etc. **Digital cameras are, however, often used in 3-D object capture. Please consult with the NC ECHO staff before proposing to purchase a digital camera using Starter Grant funds.** *Any grant request that seeks funds for a digital camera must make an extremely strong case for its use and must provide complete specifications for the camera model sought*).  
All computer equipment purchased with Starter Grant funds must meet at least the minimum specifications at <[http://statelibrary.dcr.state.nc.us/lsta/HardSpecNewPurc\\_Dig\\_07-08.pdf](http://statelibrary.dcr.state.nc.us/lsta/HardSpecNewPurc_Dig_07-08.pdf)>.
- Basic imaging **software** (e.g. Adobe Photoshop)
- **Supplies** necessary to create digital images and mount them on the Internet. Applicants must explain why an expenditure for supplies is needed.

*This grant program encourages healthy work environments. Any equipment purchased with grant funds should be ergonomically correct.*

**Use of LSTA funds for certain allowable purchases may require public libraries or public elementary and secondary school libraries to comply with the federal Children's Internet Protection Act (CIPA).**

**These purchases include the following:**

- **Computers used to access the Internet.**
- **Other items and services associated with accessing the Internet, including hardware, software, peripherals, network components, and accompanying installation costs. Specific examples include servers; workstations and the components that comprise a workstation; hubs, routers, cabling, modems, and other components of the network infrastructure; operating system software; Internet service provider (ISP) charges; and installation charges.**

**Additional information on CIPA, with guidelines and all required forms, is available at <<http://statelibrary.dcr.state.nc.us/lsta/cipa.htm>>.**

### ***Unallowable expenses:***

- personnel costs;
- collecting materials (i.e., this grant is designed to help libraries learn to digitize materials they already own);
- traditional arrangement, description, and/or cataloging of source material;
- retrospective conversion of catalog records;
- audio/video web presentations (but digitization of a/v materials is eligible);
- purchase or update of collection management systems;
- preservation activities or materials (reformatting of media, preservation enclosures, etc.);
- outsourcing of digitization activities;
- conversion of finding aids for online access;
- travel and subsistence;

- furniture;
- supplies not directly related to allowable grant project activities;
- on-going operating costs, such as monthly Internet Service Provider (ISP) fees;
- entertainment costs;
- “overhead” or indirect/administrative costs.

*Note: Runs of Newspapers – in any format – are not eligible content for digitization in this grant program. The technology is not yet advanced enough (nor cost effective) to digitize runs of newspapers successfully. A case can be made for digitization of single or scattered issues.*

### **1.7. What is the basis for selecting projects for funding?**

To be eligible for consideration, an application must be **received** by the February 21, 2007 deadline.

These criteria will be the basis for determining priority for funding among the eligible applications:

#### **I. Prior application of traditional methods of access and preservation**

Institutions submitting proposals must have already implemented traditional arrangement and description and/or cataloging, and preservation measures with the materials that will be digitized.

The application must demonstrate that all materials the library proposes to digitize have already been arranged, described, cataloged, and preserved. This means that they are:

- housed in preservation enclosures;
- stored in a heated and air-conditioned facility with some form of humidity control; and
- accessible in a manner that meets the standards of the library, archive, or museum professions (i.e., has an adequate finding aid; is accessioned into a collection management system for archives or museums [automated or hard copy variety]; and/or is cataloged in a manner consistent with MARC standards and is accessible through the library’s online catalog).

#### **II. Need**

In addition to demonstrating that materials to be digitized have already been arranged, described, and/or cataloged and stored properly, successful applicants must demonstrate that

- the library lacks some or all of the equipment necessary to digitize, store and make images accessible via the Internet, AND
- the staff has limited or no experience in digitizing source materials and making them available via the Internet.

#### **III. Content – quality and quantity**

The project proposal will include a description of the materials that will be digitized and made accessible. Because this is a “starter” grant, the content proposed for digitizing may be exploratory and “beginner” in nature, and the quantity of materials to be digitized may be modest.

If more proposals are received than can be funded, greater weight will be given to projects with content of broader statewide significance.

*Runs of Newspapers – in any format – are not eligible content. The technology is not yet advanced enough (nor cost effective) to digitize runs of newspapers successfully. A case can be made for digitization of single or scattered issues.*

**Special Note:** Applicants must be able to certify that they have the right under current intellectual property law to create and make available to the public digital copies of materials proposed in their grant application. See below: V. Local Commitments Certification.

#### **IV. Clarity of Project Plan and Budget:**

The key activities in this grant program, following application and award, include: staff attendance at the Digitization Institute, procurement of equipment, digitization, sharing results that are accessible via the Internet and that utilize nationally accepted metadata standards, and arranging for ongoing storage of and access to digitized images.

Applicants must explain how these activities will occur in the grant timeframe. For example, if a staff member has already attended the Digitization Institute, the library could order equipment and start the digitization process immediately after library representatives and the State Librarian sign the grant agreement. If a staff member will attend a 2007 Digitization Institute, what work will happen prior to the Institute and what will happen afterwards? Preferred methods for providing this information include an action plan narrative and timeline.

Applicants must note the staff member who attended or will attend the Digitization Institute, and their role in the project. The staff member who will attend the Digitization Institute **MUST** be a principal player in the proposed digitization project. The roles of other staff or volunteers must be described.

Digitization Starter Grant funds may be spent in a limited number of ways. Applicants must provide an estimated budget for allowable equipment, software, and supplies they anticipate will be needed. Makes and models, and specifications for computers, scanners and printers must also be provided in the application to confirm that the proposed purchases meet the minimum specifications for new equipment purchases.

#### **V. Local Commitments Certification:**

The Library's director must certify that the applicant library meets criteria related to:

- prior preservation and storage of materials,
- appropriate traditional access,
- copyright – that they have the right under current intellectual property law to create and make available to the public digital copies of materials proposed in their grant application,
- attendance at the Digitization Institute,
- adherence to NC ECHO "Digitization Guidelines" standards, and
- desire and intent to sustain digital products resulting from the grant project.

If the applicant library has already sent a representative to the NC ECHO Digitization Institute, these guidelines will be familiar. Otherwise, they will be taught during the Institute.

The "Digitization Guidelines" document is available at <http://www.ncecho.org/Guide/toc.html>>. It includes specific best practices for scanning, storage, and use of metadata (cataloging). The State Library will make a hardcopy version of the "Digitization Guidelines" document available upon request.

**See Section 2.1 for additional factors and issues that may be taken into account in the review of all grant proposals and selection of applications for funding.**

**1.8. For further information about this grant program:**

Questions about Digitization Starter Grants should be directed to Hilary Perez, NC ECHO Project Archivist, State Library of North Carolina, at 919-807-7418 or [hperez@library.dcr.state.nc.us](mailto:hperez@library.dcr.state.nc.us).

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## 2. GENERAL INFORMATION & GUIDELINES

### 2.1. What is the basis for selecting projects for funding?

In addition to the criteria and priorities listed in Section 1 of the Information & Guidelines for each LSTA grant program, the following criteria also apply:

#### I. **Ability to Pay and Local Effort**

In awarding LSTA grants to North Carolina libraries, two additional factors will serve as measures of institutional need if all other factors are equal in the review of a group of grant proposals. They are:

- **Ability to pay:** The relative resources available to fund library services from local government or within an academic institution—that is, the per capita local tax base or the per FTE institutional resources will be used as a measure of ability to pay for services locally, and
- **Local effort:** The relative local effort in supporting library services—that is, per capita support of a public library or, for academic libraries, the library operating expenditures as a percentage of the Educational and General Expenditures for the academic institution, or, for a school library, the per capita support or the library operating expenditures as a percentage of the general expenditure for the school.

The data used by State Library staff and reviewers to determine ability to pay and local effort is updated annually. Data for the current year is available at <http://statelibrary.dcr.state.nc.us/lsta/financialfactors0708.htm>.

#### II. **Applicant's LSTA Grant History**

Two other issues may be taken into consideration in selecting applications for funding:

- the quality and effectiveness of the applicant's management of prior LSTA grants, and
- if requests exceed available funds, the number and type of grants that a library has received over the life of LSTA and their total dollar value. This will help ensure that more libraries have the opportunity to benefit from LSTA grant funds.

### 2.2. Do you need a planning grant?

**[NOTE:** Planning grants are **required** as a preliminary step in two instances.

NC ECHO Heritage Partners Grants: applicants are **required** to have first successfully completed an LSTA Project Planning Grant.

Automated System Grants: applicants proposing to implement a shared automated system for a consortium **must** have first successfully completed a Technology Planning Grant.]

A library may determine that additional planning is needed before they are ready to apply for a grant. If so, a preliminary step may be to apply for one of the LSTA planning grants. These grants, which have no matching requirement, provide some funds to assist with costs of planning activities. There are three categories of planning grants.

- LSTA Project Planning Grants – to help libraries get ready to apply for specific LSTA grant programs, providing funds to carry out needs assessments; build collaborative partnerships and develop project plans; assess archival and special collections and create plans for digitizing them.
- Planning Grants – general planning for programs and services, process analysis, community-based planning for youth services, a building program or library space utilization study.

- Technology Planning Grants – developing a comprehensive technology plan, planning for a new or upgraded automated library system, including development of an RFP.

*The State Library offers two cycles for its suite of planning grants. A mid-year 2006-2007 grant (application due November 20, 2006) would allow a library to complete planning activities between January and July 2007 in time to file a Letter of Intent (LOI) in November 2007 for a 2008-2009 project grant. If the Letter of Intent is successful, the library may submit a full application in late February 2008 for a project that would begin in July 2008.*

*Information (guidelines and applications) for mid-year planning grants can be found under “2006-2007 LSTA Grant Programs” at: <http://statelibrary.dcr.state.nc.us/lsta/lsta.htm> .*

*A library applying and funded for a planning grant in the regular cycle (2007-2008 applications due February 21, 2007) would have an allowable planning period of one year, beginning July 2007. With a regular cycle planning grant a library could potentially meet the November 2007 LOI deadline for a 2008-2009 Project grant, however the planning time is likely to be more compressed. A library must consider its own circumstances and capabilities to determine the most appropriate course of action.*

A library may not receive the relevant planning grant and the Project grant for which they planned, in the same grant year.

### **2.3. What is the application and review process?**

#### **For Project grant programs (i.e., programs REQUIRING a Letter of Intent):**

Project grant programs for 2007-2008 include: Automated System; Innovation / Demonstration; Internet Infrastructure Improvement; Library Outreach Services; NC ECHO Digitization; NC ECHO Heritage Partners.

The grant process for Project grant programs has two steps aimed at saving time and other resources for libraries that are interested in applying for some of the more complex grant programs. It allows the library to determine whether its project concept is eligible and/or competitive.

- Step #1: Letter of Intent: A library interested in applying for a Project grant must submit by November 20, 2006 a Letter of Intent (LOI) explaining the proposed project. (The Letter of Intent is a brief application form found at <http://statelibrary.dcr.state.nc.us/lsta/lsta.htm>.) The LOI will be used to determine whether the library is proposing a project that meets the criteria of the grant program. State Library staff and the LSTA Advisory Committee review the Letters of Intent and the LSTA Advisory Committee determines which libraries are authorized to submit a full application. Libraries will be notified of authorization by December 19, 2006.

For multiyear projects, the Letter of Intent must identify the intention to apply as a multiyear grant. The LOI must also identify activities that will occur over the life of the project and estimate a budget for the entire project.

- Step #2: Full Grant Application: Those libraries that receive authorization are invited to submit a full application with a project plan and budget. Full applications are due February 21, 2007.

For multiyear projects, the full application must include an action plan and timeline for all proposed years, including milestones or checkpoints to demonstrate progress for the full project; an estimated budget for all the years of the project; and, as appropriate, a plan for sustainability.

- To be eligible for review, full grant applications must be received in the State Library's Library Development Section Office (Room 210, Archives & State Library Building) by 5:00 p.m. February 21, 2007.
- Only **complete** applications from eligible institutions (those authorized to submit a full application) will be reviewed.
- Eligible applications will be reviewed and evaluated by State Library staff and outside peer reviewers, according to the grant program criteria. The LSTA Advisory Committee will consider the applications in conjunction with reviewer evaluations and make recommendations to the State Librarian regarding funding.
- Since the LSTA Advisory Committee reviews all LSTA Project grants and makes funding recommendations, no appeal is available.
- Announcement of funded applications will be posted to the State Library's LSTA web site (<<http://statelibrary.dcr.state.nc.us/lsta/lsta.htm>>) by the June award announcement date.
- No project funds (grant or matching dollars) may be encumbered or expended until library representatives and the State Librarian sign the grant agreement.

**For EZ grant programs (i.e., programs NOT requiring a Letter of Intent):**

EZ Programs for 2007-2008 include: Basic Equipment; LSTA Project Planning; **NC ECHO Digitization Starter**; Planning; School Library Collection Development; Strengthening Public and Academic Library Collections; Technology Planning.

- To be eligible for review, grant applications must be received in the State Library's Library Development Section Office (Room 210, Archives & State Library Building) by 5:00 p.m. February 21, 2007.
- Only **complete** applications from eligible institutions will be reviewed.
- Eligible applications will be reviewed and evaluated by State Library staff according to the grant program criteria. State Library Senior Management will make final decisions.
- Procedures for EZ grants allow for appeals of funding decisions. Awards are not final until the appeals process is completed.
- Announcement of funded applications will be posted to the State Library's LSTA web site (<<http://statelibrary.dcr.state.nc.us/lsta/lsta.htm>>) by the June award announcement date.
- No project funds (grant or matching dollars) may be encumbered or expended until library representatives and the State Librarian sign the grant agreement.

#### **2.4. How are grant payments made?**

- **Grant funds are paid on a reimbursement basis. Libraries pay project expenses using local funds, and are then reimbursed for *actual* documented expenses up to the grant amount awarded.**

- **June 30, 2008, is the date by which all project funds (grant and matching) must be spent.**
- Grant payments will only be made for expenses incurred after a library is awarded a grant and library representatives and the State Librarian have signed the grant agreement.
- Grantees must submit requests for reimbursement once a quarter, at a minimum. Regular reimbursements ensure an even flow of grant payments.
- By the postmark date of April 15, 2008, a minimum of seventy-five percent (75%) of the grant amount must be requested for reimbursement. Requests received by this date will be paid by June 30, 2008.
- **July 15, 2008 is the final postmark deadline** for submitting grant reimbursement requests. The State Library will complete all payments by August 30, 2008.

For grant programs that allow purchase of computer equipment:

The State Library understands that costs of computer equipment change rapidly. If proposed equipment is purchased for less than the grant award amount, the library must obtain State Library approval to use the balance of the grant funds. The State Library does not guarantee approval for additional purchases in order that all grant funds can be used.

## **2.5. What reports must grantees make?**

As part of the evaluation process for LSTA grant programs, all grant recipients must complete a report on their grant-funded project. It will be due to the State Library by September 30, 2008. The report will include a summary of grant expenditures, review of the project's accomplishments and descriptions of outcomes/benefits for users. The State Library will provide a form for the grant report.

To help you develop your plan for evaluation and reporting, please review the type of report you will have to provide. The 2005-2006 online report form may be found at <http://statelibrary.dcr.state.nc.us/lsta/report0506.htm>.

Non-profit grantees must comply with the requirements of North Carolina General Statute 143-6.2 and the corresponding rules of North Carolina Administrative Code, Title 09, Chapter 03M, "Uniform Administration of State Grants," and the applicable requirements in the Office of the State Auditor's Audit Advisory ADV-2005-001 September 2005, including submission of required financial reports within six months (or nine months for \$500,000 threshold) of the end of the Library's fiscal year(s) in which grant funds are received.

## **2.6. What impact will CIPA have on LSTA grantees?**

In Fall 2000, Congress passed the Children's Internet Protection Act (CIPA) establishing certain requirements that affect public and school libraries that use federal funds to support public access to the Internet. One result is that the State Library must assure the Federal Government that affected libraries have Internet safety policies in place and are using technology protection measures, e.g., filtering software technology. This requirement applies to public libraries and public elementary and secondary school libraries that receive LSTA funds to purchase computers for accessing the Internet or to pay for the direct costs of accessing the Internet.

Libraries that participate in the Universal Service (E-rate) program are also subject to CIPA compliance requirements, which are more stringent for the E-rate program than for LSTA.

E-rate CIPA compliance requirements take priority over those for LSTA. This means that a public or school library that is already complying with CIPA under the provisions of the E-rate program does not have to take any further compliance action to be eligible for LSTA funds. For additional information on CIPA compliance for libraries subject to LSTA rules, please see <http://statelibrary.dcr.state.nc.us/lsta/cipa.htm>.

**Every library that submits an application for funding to the State Library must include the appropriate CIPA certification documents as part of its application package.** This applies to all grant applicants—no matter what type of library or what type of grant. This requirement is the result of guidance provided to state library agencies by the Institute of Museum and Library Services (IMLS), the federal agency that administers LSTA.

Additional information on CIPA, with guidelines and all required forms, is available at <http://statelibrary.dcr.state.nc.us/lsta/cipa.htm>.

## 2.7. What else do applicants need to know?

Because these grants are from federal funds administered through a state agency, all grantees must adhere to required federal and state provisions. (See **Grant Provisions**, Section 3.) Please read these carefully.

## 2.8. Grant program timeline:

### **For Project grant programs (i.e., programs REQUIRING a Letter of Intent)**

Programs include: Automated System; Innovation / Demonstration; Internet Infrastructure Improvement; Library Outreach Services; NC ECHO Digitization; NC ECHO Heritage Partners.

The following deadlines apply to 2007-2008 Project grants. Some dates are also included for 2006-2007 Mid-year planning grant programs.

September 13, 2006	<ul style="list-style-type: none"> <li>Letter of Intent (LOI) announcement for Project grant programs; Guidelines and LOI application form available at URL below.</li> <li>Mid-year cycle 2006-2007 EZ planning grant guidelines and applications available (3 categories) – See “2006-2007 LSTA Grant Programs” at URL below.</li> </ul> <a href="http://statelibrary.dcr.state.nc.us/lsta/lsta.htm">http://statelibrary.dcr.state.nc.us/lsta/lsta.htm</a>
November 20, 2006	<ul style="list-style-type: none"> <li>Letters of Intent due by 5:00 p.m. *</li> <li>Mid-year 2006-2007 planning grant applications due by 5:00 p.m. *</li> </ul>
December 19, 2006	<ul style="list-style-type: none"> <li>Approved Letters of Intent notified; applications available</li> <li>Announcement of funded Mid-year 2006-2007 EZ planning grants</li> </ul>
February 21, 2007	Full applications due by 5:00 p.m. *
June 12, 2007	Announcement of funded projects
July 2007 – June 30, 2008	Grant project implementation and expenditure period for 2007-2008 projects
October 15, 2007	Postmark deadline for first grant reimbursement request
January 15, 2008	Postmark deadline for second grant reimbursement request
April 15, 2008	Postmark deadline for third reimbursement request; a minimum of 75% of grant amount must be requested by this deadline
June 30, 2008	<b>Date by which all project funds must be spent</b>
July 15, 2008	Final postmark deadline to submit grant reimbursement request
August 31, 2008	State Library completes grant payments
September 30, 2008	Final report due to State Library

\* Must be **received** in the State Library’s Library Development Section Office, Room 210, Archives & State Library Building.

**For EZ grant programs (i.e., programs NOT requiring a Letter of Intent):**

Programs include: Basic Equipment; LSTA Project Planning; **NC ECHO Digitization Starter**; Planning; School Library Collection Development; Strengthening Public and Academic Library Collections; Technology Planning.

The following deadlines apply to 2007-2008 EZ grants.

December 19, 2006	Guidelines and applications available to libraries at < <a href="http://statelibrary.dcr.state.nc.us/lsta/lsta.htm">http://statelibrary.dcr.state.nc.us/lsta/lsta.htm</a> >
February 21, 2007	Applications due by 5:00 p.m. *
June 12, 2007	Announcement of funded projects
July 2007 – June 30, 2008	Grant project implementation and expenditure period for 2007-2008 projects
October 15, 2007	Postmark deadline for first grant reimbursement request
January 15, 2008	Postmark deadline for second grant reimbursement request
April 15, 2008	Postmark deadline for third reimbursement request; a minimum of 75% of grant amount must be requested by this deadline
June 30, 2008	<b>Date by which all project funds must be spent</b>
July 15, 2008	Final postmark deadline to submit grant reimbursement request
August 31, 2008	State Library completes grant payments
September 30, 2008	Final report due to State Library

\* Must be **received** in the State Library's Library Development Section Office, Room 210, Archives & State Library Building.

**2.9. Instructions for preparing and collating your application:**

Your application is one of many that reviewers will read. Following these instructions will make it easier for reviewers to read and evaluate your proposal:

- Use an 11-point font size or greater and margins at least 1" on all sides. Concise wording is best.
- Use a header or footer, with a single page numbering system, throughout the whole document except for the cover signature page. Handwritten page numbers on attachments are acceptable.
- When using attached sheets to answer questions, repeat the question and question number from the application form, but do not repeat explanatory information.
- Any supplemental information or attachments should follow the completed application form.
- If you append any material not specifically requested in the application, be judicious in how much you include. Provide extracts of long documents. Reviewers can pay more careful attention to applications that are concise and supporting materials that are directly relevant.
- Copy your pages front and back if possible, on plain white paper.
- Staple application in upper left corner, with signature page on top. Do not bind or include a cover letter.
- Be sure to enclose 1 original of the required CIPA certification forms in your application package. No additional copies are required.

## 2.10. Where do I apply?

Send completed applications to the address below. All applications must be received in the State Library's Library Development Section Office (Room 210, Archives & State Library Building) by 5:00 p.m. on February 21, 2007.

Send

- **one** (1) original of your application with certifying signatures in blue ink,
- **one** (1) signed original of each document specified by the *CIPA Certification Guidelines for LSTA Grant Applicants* (<<http://statelibrary.dcr.state.nc.us/lsta/cipa.htm>>),
- **plus** the number of copies specified in the table below (excluding CIPA documents).

Grant Program	Application with original signatures in blue ink + CIPA Checklist (& Certification if required) <i>Include CIPA document(s) with original application only; do not make copies.</i>	Copies of application (in addition to the original signed in blue ink) <i>Do not include CIPA document(s).</i>
<b>Project Grants</b>		
Automated System	1	25
Innovation / Demonstration	1	25
Internet Infrastructure Improvement	1	25
Library Outreach Services	1	25
NC ECHO Digitization	1	25
NC ECHO Heritage Partners	1	25
<b>EZ Grants</b>		
Basic Equipment	1	15
Digitization Starter	1	15
LSTA Project Planning	1	15
Planning	1	15
School Library Collection Development	1	9
Strengthening Public & Academic Library Collections	1	15
Technology Planning	1	15

**Warning: To be considered, applications must be received in the Library Development Office by the 5:00 p.m. February 21, 2007 deadline.**

To assure on-time receipt by the State Library, applicants are strongly encouraged to use a commercial service and the Jones Street address. Packages sent via US Postal Service and Mail Service Center address (even Express Mail) frequently encounter delivery delays, and the US Postal Service does **not** deliver to the Jones Street address. Any application not received by the deadline will not be eligible for consideration.

Delivery by commercial service (e.g. FedEx, UPS), or hand delivery: <b>RECOMMENDED</b>	Delivery by US Postal Service:
LSTA Grant Applications	LSTA Grant Applications
Library Development Section, Room 210	Library Development Section
State Library of North Carolina	State Library of North Carolina
Archives & State Library Building	4640 Mail Service Center
109 E. Jones Street	Raleigh NC 27699-4640
Raleigh NC 27601	

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## GRANT PROVISIONS

The following state and federal provisions apply to the LSTA grant program. Libraries awarded grants must agree to comply with these provisions.

### 1. Grant Agreement and Timing of Expenditures

Official notification of the grant award must be received from the State Library and a grant agreement (formal agreement between the grantee and the State Library) signed by both the representatives of the library and the State Librarian *before* any funds may be encumbered or expended for the project.

### 2. Allowable and Unallowable Costs

Grantees must carry out the grant project according to the approved grant proposal, and all federal funds must be expended solely for the purpose for which a grant was awarded.

The following costs are unallowable and may not be proposed as grant project costs: bad debts, contingencies, contributions and donations, entertainment, fines and penalties, under recovery of costs under grant agreements (excess costs from one grant agreement are not chargeable to another grant agreement).

### 3. Legal and Regulatory Compliance

Grantees must expend grant funds in accordance with all applicable local, state, and federal laws and regulations.

### 4. Budget Revisions and Programmatic Changes

Grantees must not deviate from the approved budget and plan for carrying out the grant project as contained in the approved grant application unless prior approval is obtained from the State Library.

### 5. Records Retention

Grantees must maintain adequate financial records to ensure complete reporting, and retain programmatic and financial records relating to the grant for a minimum of five years from the due date of the final grant report, or until all audit exceptions have been resolved, whichever is longer.

### 6. Free and Open Competition

Purchases made from grant funds must be carried out to ensure free and open competition to the extent possible. Libraries eligible to purchase under state contract may use this option for grant purchases.

### 7. Debarment & Suspension

Transactions for the purposes of this grant will not knowingly be made with parties who have been debarred or suspended from receiving Federal financial assistance under Federal programs and activities (Debarment and Suspension Certification).

### 8. Equipment and Inventory

Equipment with unit price above \$500 purchased with grant funds must be labeled as purchased with LSTA funds and listed on biennial inventory reports requested by the State Library. If fair market value at the time of surplus or disposal exceeds \$5,000, disposal must be cleared with the State Library.

### 9. Publicizing & Acknowledging Funds

Grantees are required to credit IMLS/LSTA in all related publications and activities in conjunction with use of the grant funds. Grantees should publicize grant-supported activities in available and appropriate media.

The following acknowledgement statement must be used when meeting these requirements: "This publication/activity/program/etc) was supported by grant funds from the Institute of Museum and Library Services under the provisions of the federal Library Services and Technology Act as administered by the State Library of North Carolina, a division of the Department of Cultural Resources." Copies of any publications or materials produced under the grant must be submitted to the State Library.

### 10. Lobbying

Grantees are prohibited by federal law from using grant funds to pay costs associated with lobbying Congress or the public for purposes of influencing elections, legislation, or the award of any federal funds. Grantees receiving an award of over \$100,000 must file a certification regarding lobbying.

### 11. Non-discrimination

All library services provided as a result of the federal grant funds must be available without discrimination to all members of the community served. Participation may not be denied on the basis of race, color, national origin, handicap, age, or sex.

Relevant legislation includes the following:

Title VI of the Civil Rights Act of 1964; Section 504 of the Rehabilitation Act of 1973; Section 6101 of the Age Discrimination Act of 1975; The Americans With Disabilities Act of 1990; subject to certain exceptions, Title IX of the Education Amendments of 1972.

### 12. Audit and Financial Reporting Requirements

LSTA grants must be audited in compliance with federal and state audit requirements for local governments and public authorities, institutions of higher education, and non-profit organizations. The following source documents outline the standards and requirements:

- United States Office of Management and Budget: (OMB) Circular A-133 - Audits of States, Local Governments, and Non-Profit Organizations.
- North Carolina General Statute 143-6.2 "Use of State funds by non-State entities", and the corresponding rules of North Carolina Administrative Code, Title 09, Chapter 03M, "Uniform Administration of State Grants."

### LEGAL REFERENCES:

- Nondiscrimination in Federally Assisted Programs – 45 CFR 1110
- Nondiscrimination on the Basis of Handicap in Federally Assisted Programs and Activities – 45 CFR 1170
- Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments – 45 CFR 1183
- Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants) – 45 CFR 1185
- OMB Circular A-102 – Grants and Cooperative Agreements with State and Local Governments
- OMB Circular A-110 – Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations
- OMB Circular A-87 - Cost Principles for State, Local, and Indian Tribal Governments
- OMB Circular A-21 - Cost Principles for Education Institutions
- OMB Circular A-122 - Cost Principles for Non Profit Organizations

State Library of North Carolina - Library Services and Technology Act

**NC ECHO EZ DIGITIZATION STARTER GRANT  
2007-2008  
Application**

***DUE DATE:*** *Original and required copies must be received by 5:00 p.m. February 21, 2007 in the Library Development Section Office, Room 210.*

**INSTITUTION / LIBRARY:** \_\_\_\_\_

**MAILING ADDRESS:** \_\_\_\_\_

**U.S. CONGRESSIONAL DISTRICT** (in which headquarters library is located): \_\_\_\_\_

**PROJECT MANAGER NAME / TITLE:** \_\_\_\_\_

**PHONE:** \_\_\_\_\_ **FAX:** \_\_\_\_\_ **EMAIL:** \_\_\_\_\_

**GRANT AMOUNT REQUESTED (whole dollars only)** \_\_\_\_\_ **\$** \_\_\_\_\_  
Total grant amount requested (maximum \$8,000, minimum \$2,500)

**PROJECT TITLE:** \_\_\_\_\_

**ABSTRACT:** Provide a brief abstract of your project in the space below. See instructions on the following page.

**CERTIFICATION AND SIGNATURES:**

We are aware of, and agree to comply with, all state and federal provisions and assurances required under this grant program. If awarded grant funds, we assure that we will carry out the grant project according to the approved grant proposal. This application has been authorized by the appropriate authorities of the applying institution/library.

\_\_\_\_\_  
Printed name of library director

\_\_\_\_\_  
Printed name / title of local government or  
Institutional authorizing official

\_\_\_\_\_  
Signature, Library Director

\_\_\_\_\_  
Signature, above official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

SLNC 12/06

**ABSTRACT INSTRUCTIONS:**

The abstract should **clearly and concisely** summarize your project. The abstract must not exceed the space available on the signature page (page 1). The abstract should only include information that is in the body of the proposal.

**INSTRUCTIONS FOR PREPARING AND COLLATING YOUR APPLICATION:**

Refer to Section 2.9 of the *Information & Guidelines*.

**It is critical that you review the grant program Information & Guidelines before completing this application.**

**1. PROJECT SUMMARY**

Summarize in a brief paragraph what you intend to digitize (subject and quantity) and who will do the work.

**2. PRESERVATION AND ACCESS:** (Answer briefly in the space available.)

- a. How are the materials you propose to digitize currently **stored**? Address both storage containers (e.g., sleeves, folders, cabinets, etc.) and the physical environment / facility (e.g., the room, temperature and humidity controls, etc.).

- b. Describe the traditional access method you use to make information about your holdings accessible to users (e.g., finding aid, card catalog, online catalog, etc.) for the materials you propose to digitize. Provide enough detail to adequately show that the materials intended for digitization have been properly arranged and described.

**Attach** one sample page from your finding aid, or a one-page sample printout from your collection management system, or a photocopy of no more than four catalog cards selected from the collection you plan to digitize. (Be sure to label the attachment.)

[Note: If it is not readily apparent that the sample is consistent with accepted professional standards, provide a brief explanation justifying why the method provides appropriate and user friendly access.]

### 3. **NEED:**

- a. What equipment (hardware, software, and supplies) does your library need in order to start a digitization project? Why?

- b. Describe your staff's training and experience with digitization, including making the images available via the Internet. If staff has had no training or experience, please state this.

**4. CONTENT:**

- a. Describe what you propose to digitize **during the timeframe of this grant**. Include an estimate of the size of the collection(s) and why this content is significant.

- The library must already own the content and/or have the intellectual property rights that allow the library to mount the material on the Internet.
- Greater weight will be given to content of broader statewide significance.

- b. Describe the steps you have taken to assure that you have full rights and permissions under current law to create and make available to the public digital copies of all materials proposed for the project. Your response should clearly demonstrate that you know who owns copyright to the material.

- c. Describe your plans for long-term sustainability of your project. What are your plans for long-term storage, preservation and migration of your master digital images? (See Chapter 6 of NC ECHO "Digitization Guidelines": [<http://www.ncecho.org/Guide/toc.html>]).

- d. Describe what you think you might digitize in the future after the grant period ends.

## 5. ACTION PLAN:

a. Digitization Institute. Complete the appropriate sentence:

\_\_\_\_\_ from our staff attended the Digitization Institute in \_\_\_\_\_  
(name) (month/year)

**OR**

\_\_\_\_\_ from our staff will attend the Digitization Institute in Spring/Summer  
(name) or Fall 2007.

b. Using the space provided, please outline your project timeline. Include the key actions, completion date, and the person responsible for the activity. Be sure that you include the following information on the timeline:

- When you will buy and install the equipment, and who will do the installation work.
- When you will digitize the content and make it available via the Internet.
- The Digitization Institute dates if a staff member will be attending.

Project Action Plan Narrative/Time Line:

c. Technology staff support – identify the staff who will be responsible for creating or modifying the web pages. Describe steps you have taken to ensure that technology staff are aware of this project. Does your library have its own server and IT staff or are you dependent upon another entity or agency outside the library for your IT needs and web presence? If you depend on others, describe steps you have taken to coordinate the work of your proposed project with that of the outside IT staff. What guarantees do you have that digitized content will be made available to the public via the web by the end of the grant period?

## 6. BUDGET:

### a. Budget Table

Using the following table, indicate the estimated costs for the equipment or supplies you intend to buy through this grant.

*Round totals to whole dollars.*

	<b>Quantity</b>	<b><u>Unit Cost</u></b>	<b><u>Total \$</u></b>
<b>Computer workstation</b>	_____	_____	_____
<b>Scanner</b>	_____	_____	_____
<b>Computer peripherals</b>	_____	_____	_____
<b>Printer</b>	_____	_____	_____
<b>Software</b> (specify)	_____	_____	_____
<b>Supplies</b> (specify)	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
<b>Other</b> (specify)	_____	_____	_____
_____	_____	_____	_____
<b>TOTAL PROJECT COSTS</b>			_____

### b. Budget Narrative

Provide a brief narrative explaining each expenditure -- what it is for; why it is necessary and relevant for the project. *Any grant request that seeks funds for a digital camera must make an extremely strong case for its use and must provide complete specifications for the camera model sought. See Information & Guidelines, Section 1.6.*

c. Equipment specifications

If you plan to buy a computer, a scanner, and/or a printer, complete the appropriate grids below. (Specifications must meet or exceed the minimums outlined at [http://statelibrary.dcr.state.nc.us/lsta/HardSpecNewPurc\\_Dig\\_07-08.pdf](http://statelibrary.dcr.state.nc.us/lsta/HardSpecNewPurc_Dig_07-08.pdf).)

**Equipment Description Grid**

**COMPUTER**

<i>(make, model)</i>	<i>Processor Speed (CPU)</i>	<i>RAM</i>	<i>Hard Disk size</i>	<i>Expansion slot(s)</i>
<i>Optical Disk</i>	<i>Video memory</i>	<i>Monitor</i>		

**SCANNER**

<i>(make, model)</i>	<i>Scanning Area (Bed Size)</i>	<i>Resolution (actual not interpolated)</i>	<i>Bit Depth</i>
<i>Dynamic Range</i>	<i>Scanner Software</i>	<i>Accessories</i>	<i>Computer interface (SCSI or USB)</i>

**PRINTER**

<i>(make, model)</i>	<i>DPI</i>	<i>Color (yes / no)</i>	<i>Capable of using photographic paper?</i>
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If you have consulted with NC ECHO staff about purchase of a digital camera and have made a case in this application for its use in your project, complete the grid below.

**DIGITAL CAMERA**

<i>(make, model)</i>	<i>DPI / Max resolution</i>	<i>Available Formats (JPG, RAW)</i>	<i>Megapixels</i>
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## 7. LOCAL COMMITMENTS CERTIFICATION:

Libraries that are recipients of an NC ECHO EZ Digitization Starter Grant must agree to the following. ***Initial to the right of each element, and sign below.***

All materials proposed for digital reproduction using funds from this grant are stored in appropriate preservation enclosures and are under stable environmental (humidity, light, and temperature) conditions.

\_\_\_\_\_

All materials proposed for digital reproduction using funds from this grant have appropriate forms of "traditional access": finding aids and/or library online catalog records.

\_\_\_\_\_

The copyright of materials to be reproduced digitally by this grant program are a) in the public domain, b) held by the library, c) used by the library with the written permission of the copyright holder for publication on the World Wide Web; or d) materials that will be utilized pursuant to fair use governed by the Copyright Act, 17 USC § 107 et seq. The entity holding copyright agrees to the publication of digital copies of their materials as specified in this document on the World Wide Web.

\_\_\_\_\_

A staff member has attended, or will attend in Spring/Summer or Fall 2007, a North Carolina ECHO Digitization Institute.

\_\_\_\_\_

*The following points will be explained and taught during the Digitization Institute:*

All materials proposed for digital reproduction using funds from this grant will have master and access images created and stored in appropriate resolution, format, and storage media, as described in the "Digitization Guidelines" document.

\_\_\_\_\_

All digital products created using funds from this grant will incorporate appropriate Dublin Core and/or MARC record forms of access.

\_\_\_\_\_

Any digital products created through use of funds from this grant will be made accessible over the World Wide Web.

\_\_\_\_\_

Any digital products created through use of funds from this grant will be maintained and migrated according to current standards and best practices in order to ensure sustainability.

\_\_\_\_\_

\_\_\_\_\_  
Signature, Library Director

\_\_\_\_\_  
Date

## 8. CIPA CERTIFICATION AND COMPLIANCE:

**Every library that submits an application for funding to the State Library *must* include the appropriate CIPA certification document(s) as part of its application package.** However, most libraries will not be subject to CIPA compliance as a result of receiving LSTA funds.

Applicants should *carefully* read the CIPA Certification Guidelines for LSTA Grant Applicants (<<http://statelibrary.dcr.state.nc.us/lsta/certguidelines07.pdf>>) to determine what document(s) to submit. Submit only ***one*** original of each required document with the application.

Those interested in compliance information should read the LSTA CIPA Compliance Information document at <<http://statelibrary.dcr.state.nc.us/lsta/compliance07.pdf>>. A single web page with these links is at <<http://statelibrary.dcr.state.nc.us/lsta/cipa.htm>>.

If you have questions regarding CIPA certification and compliance, please contact Grant Pair at [gpair@library.dcr.state.nc.us](mailto:gpair@library.dcr.state.nc.us) or 919-807-7408.

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**APPLICATION CHECKLIST:** A complete application package will include:

- \_\_\_\_\_ Signature page signed by appropriate persons.
- \_\_\_\_\_ Complete proposal that responds to every required section of the application.
- \_\_\_\_\_ Sample of finding aid or catalog record. *As requested in Question #2b.*
- \_\_\_\_\_ Complete budget table, with figures that add up correctly.
- \_\_\_\_\_ Budget narrative and equipment specifications.
- \_\_\_\_\_ Local Commitments Certification
- \_\_\_\_\_ **1 original application** with certifying signatures **in blue ink, plus 15 copies** (16 total).
- \_\_\_\_\_ **1 original** of the required **CIPA** certification form(s).

**SUBMISSION & FORMAT INSTRUCTIONS:** Make sure that your application is prepared according to the recommended format. Refer to instructions in Section 2.9 of the *Information & Guidelines*.

### DELIVERY INFORMATION:

***DUE DATE:*** ***The complete application package must be received by 5:00 p.m. February 21, 2007 in the Library Development Section Office, Room 210.***

| Delivery by commercial service (e.g. FedEx, UPS),<br>or hand delivery: <b>RECOMMENDED</b>                                                                                           | Delivery by US Postal Service:                                                                                                                 |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------|
| LSTA Grant Applications<br>Library Development Section, Room 210<br>State Library of North Carolina<br>Archives & State Library Building<br>109 E. Jones Street<br>Raleigh NC 27601 | LSTA Grant Applications<br>Library Development Section<br>State Library of North Carolina<br>4640 Mail Service Center<br>Raleigh NC 27699-4640 |

**Warning:** To be considered, applications must be received in the Library Development Office by the 5:00 p.m. February 21, 2007 deadline.

To assure on-time receipt by the State Library, applicants are strongly encouraged to use a commercial service and the Jones Street address. Packages sent via US Postal Service and Mail Service Center address (even Express Mail) frequently encounter delivery delays, and the US Postal Service does **not** deliver to the Jones Street address. Any application not received by the deadline will not be eligible for consideration.

**Do not include this instruction page with your application.**